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(PTO-1449)

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ATTY. DOCKET NO.	SERIAL NO.
113217.120US1	10/680,407

APPLICANT: Frederick W. LARK et al.

FILING DATE	GROUP
October 8, 2003	

U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	5,905,975	05/18/99	Ausubel			01/02/97
	6,021,398	02/01/00	Ausubel			05/03/99
	6,026,383	02/15/00	Ausubel			01/04/96
	6,047,274	04/04/00	Johnson et al.			02/13/98
	2002/0052828 A1	05/02/02	Ausubel			07/05/01
	6,598,029 B1	07/22/03	Johnson et al.			04/04/00

FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT / PUBLICATION NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation Yes	Translation No
	WO 02/097582 A2	12/05/02	WO			X	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
GAR G	8/3/07

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 3

Complete if Known	
Application Number	10/680,407
Filing Date	October 8, 2003
First Named Inventor	Frederick W. Lark
Art Unit	3624
Examiner Name	To Be Assigned
Attorney Docket Number	113217.120 US1

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
✓	1	Ausubel, L.: "Insider Trading in a Rational Expectations Economy," THE AMERICAN ECONOMIC REVIEW, Dec. 1990; pgs. 1022-1041.	
	2	Ausubel, L.: "An Efficient Ascending-Bid Auction for Multiple Objects," University of Maryland, Dept. of Economics, 7 August 2002.	
	3	Ausubel, L.: "An Efficient Dynamic Auction for Heterogeneous Commodities," Univ. of Maryland, Dept. of Economics, 17 July 2002.	
	4	Ausubel, L.: "An Efficient Ascending-Bid Auction for Dissimilar Objects," Univ. of Maryland, Dept. of Economics, Jan. 4, 1996.	
	5	Ausubel, L.: "On Generalizing the English Auction," Univ. of Maryland, Dept. of Economics, Dec. 31, 1997.	
	6	Ausubel, L. et al.: "Synergies in Wireless Telephony: Evidence from the Broadband PCS Auctions," Journal of Economics and Management Strategy, 6:3, 497-527, 1997.	
	7	Ausubel, L. et al.: "Vickery Auctions with Reserve Pricing," Univ. of Maryland, Dept. of Economics, June 28, 1999.	
	8	Ausubel, L. et al.: "The Ascending Auction Paradox," Univ. of Maryland, Dept. of Economics, July 5, 1999.	
	9	Ausubel, L. et al.: "The Optimality of Being Efficient," Univ. of Maryland, Dept. of Economics, June 18, 1999.	
✓	10	Ausubel, L. et al.: "Auctioning Securities" Univ. of Maryland, Dept. of Economics, March 1998.	

Examiner Signature	GARG	Date Considered	8/23/07

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GARG	11	Ausubel, L. et al.: "Demand Reduction and Inefficiency in Multi-Unit Auctions," Univ. of Maryland, Dept. of Economics, July 12, 2002.	
	12	Ausubel, L.: "Put corruption under the hammer," Financial Times, December 20, 2002.	
	13	Ausubel, L. et al.: "Demand Reduction and Inefficiency in Multi-Unit Auctions," Univ. of Maryland, Dept. of Economics, March 20, 1998.	
	14	Ausubel, L.: "An Efficient Ascending-Bid Auction for Multiple Objects," University of Maryland, Dept. of Economics, Working Paper No. 97-06, June 25, 1997.	
	15	Bernard, J.C.: "Alternative Auctions Institutions for Purchasing Electric Power: An Experiment Examination," Bulk Power System Dynamics and Control IV - Restructuring, August 24-28, Santorini, Greece.	
	16	Zimmerman, R.D.: "Energy Auctions and Market Power: An Experimental Examination," Published in Proceedings of the Hawaii International Conference On System Science, January 5-8 1999, Maui, Hawaii.	
	17	Gribik, P.: "*27 Learning from California's QF Auction," Fortnightly Vol. 133, No. 8, April 15, 1995.	
	18	Ausubel, L.: "A Generalized Vickery Auction," Univ. of Maryland, Dept. of Economics, September 1999.	
	19	Underwood, C.: "A Multiple Round Ascending Auction Process Suitable for the Disposal of Radio Spectrum in New Zealand," Senior Advisor Radio Spectrum Policy, Jan. 17, 1996.	
GARG	20	Ethier, R. et al.: "Auction Design for Competitive Electricity Markets," presented at the HICSS Conference, Jan. 7-10, 1997, Maui, HI.	

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	21	Ausubel, L. et al.: "An Efficient Dynamic Auction for Heterogeneous Commodities," Univ. of Maryland, Dept. of Economics, Sept. 8, 2000.	
	22	Ausubel, L. et al.: "Ascending Auctions with Package Bidding," Frontiers of Theoretical Economics, Vol. 1, Issue 1, 2002.	
	23	"Report 1B: Package Bidding for Spectrum Licenses," Submitted to Federal Commincations Commission, Submitted by Charles River Associates Incorporated and Market Design, Inc.,	
	24	Wolfram, C.D.: "Strategic Bidding in a Multi-Unit Auction: An Emprical Analysis of Bids to Supply Electricity in England and Wales," NBER Working Paper Series, Working Paper 6269, National Bureau of Economic Research, November 1997.	
	25	Cramton, Peter C.: "Money Out of Thin Air: The Nationwide Narrowband PCS Auction," Journal of Economics & Management Technology, Volume 4, Number 2, Summer 1995, 267-343.	
	26	McAfee, R.P. et al.: "Analyzing the Airwave Auction," Journal of Economoic Perspectives, Vol. 10, Number 1, Winter 1996, pages 159-175.	
	27	McMillan, J.: "Selling Spectrum Rights," Journal of Economic Perspectives, Vol. 8, Number 3, Summer 1994, pages 145-162.	
	28	Laffont, J. et al.: "Structural economic analysis of descending auctions," European Economic Review 37, 1993, pg. 329-341, North Holland.	
	29	Ausubel, L.M. et. al.: "Implications Auction Theory for New Issues Market," Brookings-Wharton Papers on Financial Services: 2002.	

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Sheet 1 of 4

Complete if Known	
Application Number	10/680407-Conf. #4331
Filing Date	October 8, 2003
First Named Inventor	Frederick W. LARK
Art Unit	N/A
Examiner Name	Not Yet Assigned
Attorney Docket Number	113217.121 US2

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
GAR	AA*	US-6,718,312	04-06-2004	McAfee et al.	
	AB*	US-5,905,975	05-18-1999	Ausubel	
	AC*	US-6,510,418	01-21-2003	Case et al.	
	AD*	US-6,415,270	07-02-2002	Rackson et al.	
	AE*	US-6,449,601	09-10-2002	Friedland et al.	
	AF*	US-5,794,207	08-11-1998	Walker et al.	
	AG*	US-5,640,569	06-17-1997	Miller et al.	
	AH*	US-5,375,055	12-20-1994	Togher et al.	
	AI*	US-5,270,922	12-14-1993	Higgins	
	AJ*	US-5,231,571	07-27-1993	D'Agostino	
	AK*	US-5,230,048	07-20-1993	Moy	
	AL*	US-5,227,967	07-13-1993	Bailey	
	AM*	US-5,101,353	03-31-1992	Lupien et al.	
	AN*	US-5,077,665	12-31-1991	Silverman et al.	
	AO*	US-5,003,473	03-26-1991	Richards	
	AP*	US-5,845,265	12-01-1998	Woolston	
	AQ*	US-6,202,051	03-13-2001	Woolston	
	AR*	US-6,085,176	07-04-2000	Woolston	
	AS*	US-4,789,928	12-06-1988	Fujisaki	
	AT*	US-4,980,826	12-25-1990	Wagner	
	AU*	US-6,192,347	02-20-2001	Graff	
	AV*	US-5,802,501	09-01-1998	Graff	
	AW*	US-5,905,974	05-18-1999	Fraser et al.	
	AX*	US-5,845,266	12-01-1998	Lupien et al.	
	AY*	US-5,809,483	01-15-1998	Broka et al.	
	AZ*	US-5,915,209	06-22-1999	Lawrence	
	AA1*	US-5,857,176	01-05-1999	Ginsberg	
	AB1*	US-5,774,880	06-30-1998	Ginsberg	
	AC1*	US-6,029,146	02-22-2000	Hawkins et al.	
	AD1*	US-5,497,317	03-05-1996	Hawkins et al.	
	AE1*	US-5,803,500	09-08-1998	Mossberg	
	AF1*	US-6,023,685	02-08-2000	Brett et al.	
	AG1*	US-6,021,398	02-01-2000	Ausubel	
	AH1*	US-6,026,383	02-15-2000	Ausubel	
	AI1*	US-6,161,099	12-12-2000	Harrington et al.	
	AJ1*	US-4,903,201	02-20-1990	Wagner	
	AK1*	US-5,794,219	08-11-1998	Brown	
	AL1*	US-5,835,896	11-10-1998	Fisher et al.	
	AM1*	US-5,890,138	03-30-1999	Godin et al.	
	AN1*	US-6,243,691	06-05-2001	Fisher et al	
	AO1*	US-6,012,045	01-04-2000	Barzilai et al.	
GAR	AP1*	US-5,797,127	08-18-1998	Walker et al.	

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Sheet 2 of 4

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Filing Date	October 8, 2003
First Named Inventor	Frederick W. LARK
Art Unit	N/A
Examiner Name	Not Yet Assigned
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FOREIGN PATENT DOCUMENTS

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	BA	WO-98/34187-A1	08-06-1998	AUTOCOM APS		

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GAR	CA	Gale, Ian. "A multiple-object auction with superadditive values." Economic Letters, Vol. 34, pp. 323-328. (May 1990).	
	CB	Engelbrecht-Wiggans, Richard et al. "An example of multi-object auction game." Management Science, Vol. 25, No. 12, pp. 1272-1277. (December 1979).	
	CC	Rockoff, Todd E. et al. "Design of an Internet-based system for remote Dutch auctions." Internet Research: Electronic Networking Applications and Policy, Vol. 5, No. 4, pp. 10-16. (1995).	
	CD	Hausch, Donald B. "Multi-object auctions: sequential vs. simultaneous sales." Management Science, Vol. 32, No. 12, pp. 1599-1610. (December 1986).	
	CE	Ledyard, John O. et al. "Experiments testing multiobject allocation mechanisms." Journal of Economics & Management Strategy, Vol. 6, No. 3, pp. 639-675. (Fall 1997)	
	CF	McAfee, R. Preston et al. "Analyzing the airwaves auction." Journal of Economic Perspectives, Vol. 10, No. 1, pp. 159-175. (Winter 1996).	
	CG	McMillan, John. "Selling spectrum rights." Journal of Economic Perspectives, Vol. 8, No. 3, pp. 145-161. (Summer 1994).	
	CH	Milgrom, Paul et al. "Auctions and Bidding: A primer." Journal of Economic Perspectives, Vol. 3, No. 3, pp.3-22. (Summer 1989).	
	CI	Milgrom, Paul R. et al. "A theory of auctions and competitive bidding." Econometrica, Vol. 50, No. 5, pp. 1089-1122. (September 1982).	
	CJ	Milgrom, Paul. "Rational expectations, information acquisition, and competitive bidding." Econometrica, Vol. 49, No. 4, pp. 921-943. (July 1981).	
	CK	Engelbrecht-Wiggans, Richard et al. "Competitive bidding and proprietory information." Journal of Mathematical Economics, Vol. 11, pp. 161-169. (1983).	
	CL	Engelbrecht-Wiggans, Richard. "Revenue equivalence in multi-object auctions." Economic Letters, Vol. 26, pp. 15-19. (1988).	
	CM	Milgrom, Paul. "Putting auction theory to work: the simultaneous ascending auction." Journal of Political Economy, Vol. 108, No. 2, pp. 245-272. (2000).	
	CN	Kagel, John H. et al. "Behavior in multi-unit demand auctions: experiments with uniform price and dynamic vickrey auctions." Econometrica, Vol. 69, No. 2, pp. 413-454 (March 2001).	
GAR	CO	Ausubel, Lawrence M. et al. "Ascending auctions with package bidding." Frontiers of Theoretical Economics, Vol. 1, Issue 1, Article 1, pp. 1-42. (2002).	

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	CP	Bartolini, Leonardo et al. "Designing Effective Auctions for Treasury Securities" Federal Reserve Bank of New York: Current Issues in Economic and Finance, Vol. 3, No. 9, pp. 1-6. (July 1997).	
	CQ	Ausubel, Lawrence M. "Implications of Auction Theory for New Issues Markets." Brookings - Wharton Papers on Financial Services, pp. 313-343. (2002).	
	CR	Zimmerman, Ray D. et al. "An internet-based platform for testing generation scheduling auctions." IEEE - Proceedings of the Thirty-First Hawaii International Conference on System Sciences, Vol. 3, pp. 138-146. (1998).	
	CS	Milgrom, Paul. "Procuring Universal Telephone Service" Reprinted from: 1997 Industry Economics Conference Proceedings, pp. 1-9. (August 1997.)	
	CT	Ausubel, Lawrence M. "An efficient dynamic auction for heterogeneous commodities." Department of Economics, University of Maryland, pp. 1-30. (July 17, 2002).	
	CU	Ausubel, Lawrence M., "An efficient dynamic auction of heterogeneous commodities." Department of Economics, University of Maryland, pp. 1-19. (September 8, 2000).	
	CV	Lucking-Reiley, David. "Auctions on the internet: what's being auctioned, and how ?" Department of Economics, Vanderbilt University, pp. 1-54. (August 14, 1999)	
	CW	Ausubel, Lawrence M. "An efficient ascending-bid auction for dissimilar objects." Department of Economics, University of Maryland, pp. 1-22. (January 4, 1996).	
	CX	Ausubel, Lawrence M. et al. "Demand Reduction and Inefficiency in Multi-Unit Auctions." Department of Economics, University of Maryland, pp. 1-42. (March 20, 1998).	
	CY	Ausubel, Lawrence M. et al. "Demand Reduction and Inefficiency in Multi-Unit Auctions." Department of Economics, University of Maryland, pp. 1-30. (July 12, 2002).	
	CZ	Laffont, Jeans-Jacques et al. "Structural econometric analysis of descending auctions." European Economic Review, Vol. 37, pp. 329-341. (1993).	
	CA1	Cramton, Peter C. "Money out of thin air: the nationwide narrowband PCS auction." The Massacusettes Institute of Technology Journal of Economics & Management Strategy, Vol. 4, No. 2, pp. 267-343. (Summer 1995.)	
	CB1	Banks, Jeffrey S. et al. "Allocating uncertain and unresponsive resources: an experimental approach." RAND Journal of Economics, Vol. 20, No. 1, pp. 1-25. (Spring 1989)	
	CC1	Ausubel, Lawrence M. et al. "The ascending auction paradox." Department of Economics, University of Maryland, pp. 1-23. (July 5, 1999).	
	CD1	Ausubel, Lawrence M. "An Efficient Ascending-Bid Auction for Multiple Objects." Department of Economics, University of Maryland, pp. 1-25. (August 7, 2002).	
	CE1	Wolfram, Catherine D. "Strategic Bidding in a Multi-Unit Auction: An Empirical Analysis of Bids to Supply Electricity in England and Wales." National Bureau of Economic Research, Working Paper No. 6269, pp. 1-54. (November 1997).	
	CF1	Milgrom, Paul et al. "The value of information in a sealed-bid auction." Journal of Mathematical Economics, Vol. 10, pp. 105-114. (1982).	
	CG1	"Auctioning off relics of the computer age." Businessweek Online. (April 11, 1994).	
	CH1	Milgrom, Paul R. "The economics of competitive bidding: a selective survey." Social Goals and Social Organization Essays in Memory of Elisha Pazner, pp. 261-289. (1985).	
	CI1	"USAWeb.com to audiocast auctioneer bid calling contest live on the internet." USAWeb.com, http://www.usaweb.com/press/pr-050799.html. (May 7, 1999).	
	CJ1	"ONSALE Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet Retail Service Debuts with Week-Long Charity Auction for the Computer Museum in Boston." Dialog (R)File 610: Business Wire. (May 24, 1995).	
	CK1	Clontz, Bryan. "Bancassurance in the United States: Effects on Consumers." Journal of the American Society of CLU & ChFC, pp. 68. (May 1997).	

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Art Unit	N/A
Examiner Name	Not Yet Assigned
Attorney Docket Number	113217.121 US2

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1]Applicant's unique citation designation number (optional). [2]Applicant is to place a check mark here if English language Translation is attached.

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